10/573942

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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PATENT COOPERATION TREATY U.S./PCT RECEIVING OFFICE

Applicant:

Akinobu Sato, et al.

U.S. National Stage Application of

PCT/JP2004/014275

International Application No.

International Filing Date:

September 29, 2004

Attorney Docket No.

NAA237

Title:

Solid surface smoothing

method and apparatus therefor

March 29, 2006 San Francisco, California

Mail Stop PCT Commissioner of Patents P.O. Box 1450 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to the duty of disclosure set forth in 37 CFR § 1.56, Applicants respectfully submit the following information disclosure statement.

The disclosed references are:

JP-2004-253437, Japanese Patent Office, published 09/09/2004, with its English abstract.

JP-2003-188156, Japanese Patent Office, published 07/04/2003, with its English abstract.

JP-2003-505867, Japanese Patent Office, published 2/12/2003, with its counterpart US application US 6,375,790 described below.

JP-2001-284252, Japanese Patent Office, published 10/12/01, with its English abstract.

Docket: NAA237



JP-02-000316, Japanese Patent Office, published 01/05/1990, with its English abstract.

PCT Application Publication No. WO-01/048794 dated 07/05/2001.

JP-07-058089, Japanese Patent Office, published 03/03/1995, with its English abstract.

JP-08-120470, Japanese Patent Office, published 05/14/1996, with its English abstract.

JP-08-293483, Japanese Patent Office, published 11/05/1996, with its English abstract.

Toyoda, et al., "Ultra-Smooth Surface Preparation Using Gas Cluster Ion Beams," Japanese Journal of Applied Physics, Vol. 41 (2002), pp. 4287-4290.

Yamada, et al., Materials Science and Engineering, R34 (2001), pp. 231-295.

Toyoda, et al., "Surface smoothing mechanism of gas cluster ion beams," Nuclear Instruments and Methods in Physics Research B 161-163 (2000) 980-985.

A thirteenth reference, US patent 6,375,790 B1, Fenner, issued 04-23-02, filed 10-5-99, is also being submitted because it is believed to be a counterpart to JP-2003-505867 and may serve as a translation thereof.

Applicants respectfully request that the Examiner initial the cited references shown on the enclosed form PTO-1449 and that the references be made of record in the present application.

Respectfully submitted,

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Enc. PTO Form 1449

Cited references (13) Return receipt postcard Certificate of Mailing Under 37 CFR 1.10

I certify that this Information Disclosure Statement and any enclosed materials are being deposited with the United States Postal Service on March 29, 2006 as "Express Mail," mailing label EV 539509739 US in an envelope addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Jean C. Reed

BZ61112 212111 2006

U.S. DEPARTMENT OF COMMERCE Substitute Form PTO-1449 **NAA237** PATENT AND TRADEMARK OFFICE APPLICANT Akinobu Sato, et al. INFORMATION DISCLOSURE STATEMENT FILING DATE GROUP U.S. PATENT DOCUMENTS NAME OF PATENTEE OR APPLICANT FILING DATE **PUBLICATION** *Exam. Cite DOCUMENT NUMBER Initial No. Number - Kind Code DATE 10 5 99 US-6,375,790 B1 04-23-02 Fenner US-US-US-US-US-US-US-FOREIGN PATENT DOCUMENTS TRANSLATION NAME OF PATENTEE OR APPLICANT PUBLICATION *Exam. Cite DOCUMENT NUMBER YES NO Initial Number - Kind Code DATE X 09/09/2004 JAPAN, with its English abstract JP-2004-253437 X JP-2003-188156 07/04/2003 JAPAN, with its English abstract 2/12/2003 **JAPAN** X JP-2003-505867 X JAPAN, with its English abstract JP-2001-284252 10/12/01 X 01/05/1990 JP-02-000316 JAPAN, with its English abstract WO-01/048794 07/05/2001 **PCT** X 03/03/1995 JAPAN, with its English abstract JP-07-058089 X 05/14/1996 JAPAN, with its English abstract JP-08-120470 X 11/05/1996 JP-08-293483 JAPAN, with its English abstract NON-PATENT LITERATURE DOCUMENTS TRANSLATION Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, *Exam. Cite journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. YES NO Initial No. Toyoda, et al., "Ultra-Smooth Surface Preparation Using Gas Cluster Ion Beams," Japanese Journal of Applied Physics, Vol. 41 (2002), pp. 4287-4290. Yamada, et al., Materials Science and Engineering, R34 (2001), pp. 231-295. Toyoda, et al., "Surface smoothing mechanism of gas cluster ion beams," Nuclear Instruments and Methods in Physics Research B 161-163 (2000) 980-985.

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP; draw line through citation if not in conformance and not considered. Include copy of this form with next communication with applicant.

DATE CONSIDERED

EXAMINER